

**CHAPTER 17 PROJECT COMPLETION****CONTENTS**

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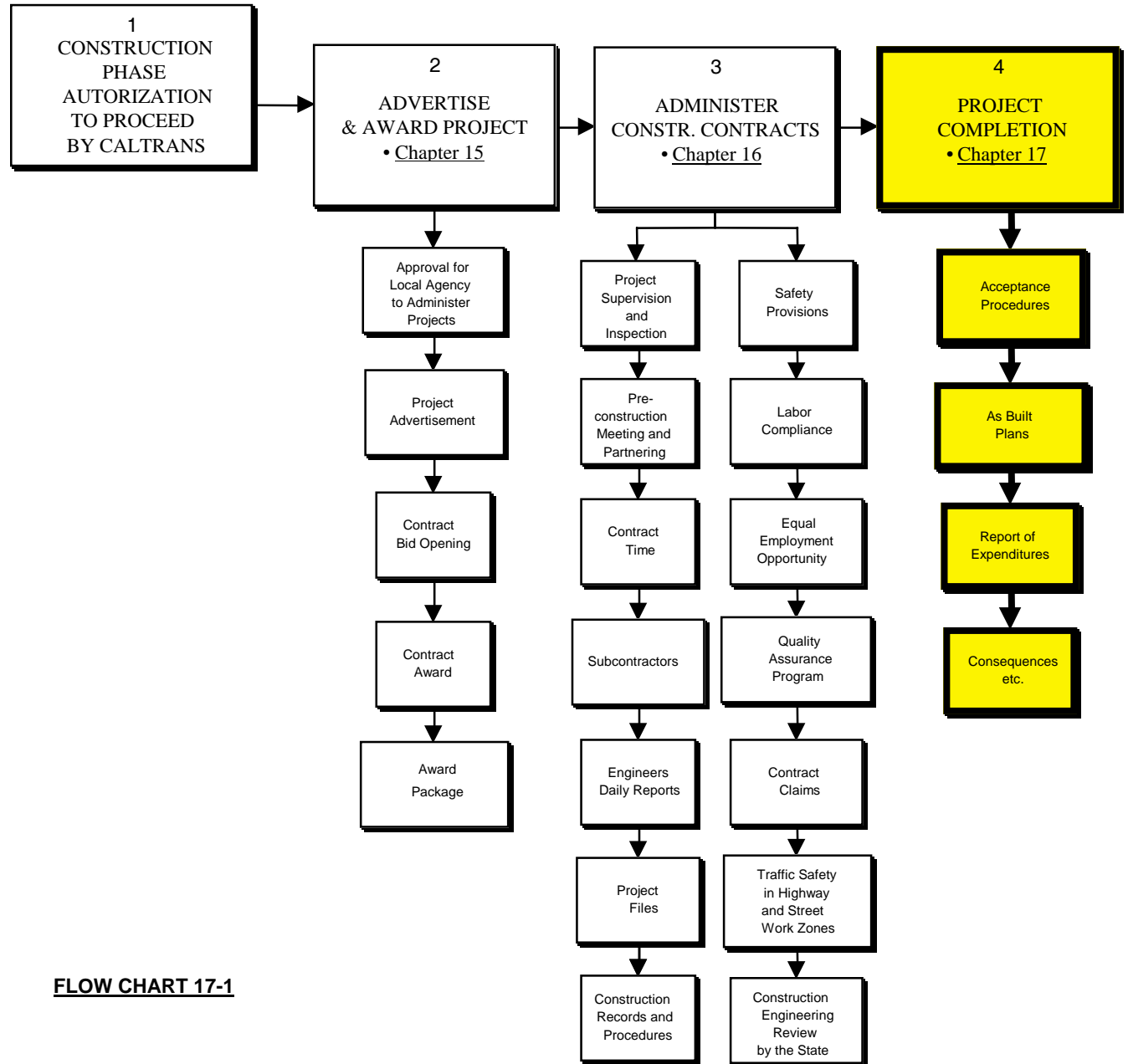
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## CHAPTER 17 PROJECT COMPLETION

### 17.1 INTRODUCTION

This chapter covers the topic of project completion. It is to be used mainly as a guide for administration of federal-aid contracts by local agencies. Each Resident Engineer should be familiar with the contents of this chapter, and Chapters 15 and 16 before administering such contracts.



**FLOW CHART 17-1**

This chapter and Chapters 15 and 16 of this manual are for the use of local agencies who administer federal-aid projects under a “Local Agency-State Agreement.” These three chapters cover general contract administration procedures.

When a locally sponsored project funded with federal-aid is within the State R/W and the State (Caltrans) is the administering agency, the State’s *Construction Manual* is normally used in lieu of these procedures.

## 17.2 DEFINITIONS OF TERMS

- EEO - Equal Employment Opportunity
- Exempt - Under Certification Acceptance, a process allowed by 23 CFR, Part 640 the State is allowed to perform certain roles and responsibilities of FHWA by certifying that its project development and construction procedures are in compliance with the applicable federal laws and regulations (see Chapter 2, Section 2.3). Except for non-Title 23 activities, these projects are exempt from direct involvement by FHWA.
- Final Invoice - Invoice listing final cost incurred for a particular phase of the project i.e. Preliminary Engineering, Construction Engineering, Right of Way, or Construction. The DLAE is required to verify project completion and approve payment before forwarding the final invoice to Local Programs Accounting (LPA). For example see Exhibit 17-C, and refer to Chapter 5, “Accounting/Invoices” for instructions.
- Form FHWA 1446C - Final Inspection of Federal-aid Project. Document used to complete the final inspection of NHS Projects that are not exempt from FHWA oversight. (Exhibit 17-B).
- Form FIF-8/97 - Final Inspection Form and revision date. Document used by Local Agency to complete the final inspection of all projects (Exhibit 17-C).
- Progress Invoice - Document submitted to initiate reimbursement of the agency’s actual engineering, construction and R/W of Way costs to date. For example see Chapter 5, “Accounting/Invoices,” Exhibit 5-A, of this manual.
- Report of Expenditures - Collectively refers to various final report documents.

## 17.3 FINAL INSPECTION PROCEDURES FOR FEDERAL-AID PROJECTS

Local agencies should document fulfillment of environmental mitigation commitments for final inspection Report of Expenditures and ultimate accountability. In addition, they should acknowledge any long term commitment to maintenance of those mitigation measures.

### **PROJECTS EXEMPT FROM FHWA OVERSIGHT (NON-NHS AND NHS THAT ARE 3R OR <\$1 MILLION)**

**Final Inspection by Local Agency** - The local agency representative or his/her staff shall make the final inspection and complete Items 1-10 of the Final Inspection Form FIF-8/97, (see Exhibit 17-C). The local agency representative or staff performing

final inspection or signing the Final Inspection Form shall be one with authority for accepting the completed contract on behalf of the local agency and authorizing final payment to the contractor, as well as directing corrective action(s) to be undertaken by the contractor.

The inspection of work performed by contract shall be made sufficiently in advance of contract acceptance to allow time for possible corrective action. Neither FHWA nor Caltrans inspection is required at this time.

The construction contract may not include all of the work contemplated in the project authorized such as striping by day labor. This work should nonetheless be completed in a timely manner.

Upon successful completion of all corrective action undertaken by the contractor, acceptance of the contract, and completion of all additional work required for the authorized project, the local agency representative should complete items 1-10 of the Final Inspection Form and forward it to the Caltrans DLAE.

**Project Verification by DLAE** - The DLAE, or his/her staff depending on the district organization and type of project, will review the job site and verify that the project was constructed in accordance with the scope and description of the project authorization document. Upon satisfactory review by Caltrans staff, the DLAE shall ensure that Sections 1-10 have been completed by the local agency and that Sections 11-13 on the Final Inspection Form have been completed. The DLAE shall retain the Final Inspection Form and send two copies to the local agency for the Report of Expenditures.

## **PROJECTS NOT EXEMPT FROM FHWA OVERSIGHT (NEW OR RECONSTRUCTION $\geq$ \$1 MILLION)**

Final inspection of major NHS projects shall be in accordance with written construction administration procedures discussed in Section 15.3 of this manual. All other NHS projects not exempt from FHWA oversight shall be in accordance with the following:

**Final Inspection by Local Agency** - NHS projects that are not exempt from FHWA oversight will require a final inspection by the FHWA. To initiate this inspection, the Local agency will make the final inspection as described above for exempt projects, accept the construction contract and submit the signed Final Inspection Form FIF-8/97 and reduced plan cover sheet and typical cross sections to the DLAE immediately upon completion of all work in the project authorization.

**Project Verification by DLAE** - Upon receipt of the Local Agency Final Inspection Form, the DLAE shall verify that the project has been completed as described above for projects that are exempt from FHWA oversight and then prepare an original and one (1) copy of Form FHWA 1446C entitled "Final Inspection of Federal-Aid Project" (see Exhibit 17-B). Items # 1 through #7 are to be completed by the DLAE. Any changes in the project's scope since the original field review should be reported in item #11, "Remarks." The DLAE shall then transmit it to the FHWA Transportation Engineer. This form initiates the final inspection of the project by the FHWA Transportation Engineer. When Form FHWA 1446C is signed and returned, the DLAE will sign the Final Inspection Form FIF-8/97 and send one copy of each form to the local agency for the Report of Expenditures.

**Final Inspection by FHWA** - The final inspection may be completed by one of the following:

- A desk review of the final estimate and other project records
- A “drive-through” inspection following completion of work

Upon completion of the final inspection and Items #8 through #14 by the FHWA Transportation Engineer, 3 copies of the Form 1446C are returned to the DLAE for distribution to:

- DLAE (2 copies). The DLAE shall forward one copy back to the local agency for incorporation into the Report of Expenditures.
- Office of Local Programs (1 copy) for information.

## 17.4 AS BUILT PLANS

On locally-administered contracts the resident engineer shall provide the DLAE a set of original structure tracings with “As Built” corrections; or a clear, readable, black-line copy of the original tracings with “As Built” corrections. The “As Built” corrections shall be made by the engineer responsible for structure work. These shall be forwarded by the DLAE to the Division of Structures with a copy of the Report of Completion of Structures (Exhibit 17-J). These shall be returned to the local agency after microfilming, if requested.

“As Built” corrections for the roadwork portion of the plans should be recorded in accordance with local agency requirements.

## 17.5 REPORT OF EXPENDITURES

The local agency is responsible for preparing and submitting to the DLAE final report documents which collectively constitute a “Report of Expenditures.” This report provides key information required to initiate timely project closure and payment. The Report of Expenditures is due at the completion of the project. Deadline for submittal of the Report(s) is six (6) months after project completion. If timely submittals are not received Caltrans shall initiate actions discussed under Section 17.6, “Consequences for Non-Compliance.” The “Report of Expenditures” shall be signed by the public employee in responsible charge of the project.

### FEDERAL-AID PROJECTS

For federal-aid projects, the Report of Expenditures includes, as a minimum, the following documents:

- **A Cover Letter and Federal Report of Expenditures Checklist** (Exhibit 17-A) - Identifies all mandatory documents to be included in the Report of Expenditures. This checklist shall be submitted by the local agency with the report of completion. Copies of all documents included in the report of expenditures shall be maintained on file at the local agency for any future audits as specified in the Master Agreement and Program Supplement, and to serve as verification that contractor labor requirements were met.

- **Final Inspection Forms**
  1. **Final Inspection Form FIF-8/97** (Exhibit 17-C) - This form when completed by both the local agency and the DLAE shall be included as part of the Federal Report of Expenditures for all projects.
  2. **Final Inspection of Federal-Aid Project** (Exhibit 17-B) - This form, when completed by both Caltrans and the FHWA Transportation Engineer, shall be included as part of the Federal Report of Expenditures for projects that are not exempt from FHWA oversight.
- **Final Invoice** - Final Invoice should conform to the format in Exhibit 17-D. Submit one original. The Final Invoice **must** agree with the Final Detail Estimate.
- **Final Detail Estimate** - The format of the final detail estimate is the same as presented in Chapter 15, Section 15.7, "Award Package," except that it must be labeled "Final" and show the total of previous progress payments plus the final invoice. The local agency shall prepare the final detail estimate. If claims are still pending, the final detail estimate should not be prepared until the claims are resolved. The final detail estimate must agree with the final invoice. State costs (Example: State material testing) should not be included in the final detail estimate prepared by the local agency. Once claims are settled, the final invoice and a final detail estimate shall be submitted to the DLAE as part of the Report of Expenditures.
- **Change Order Summary** - The Change Order Summary should conform to sample form in Exhibit 17-E. This is required regardless of whether or not change orders were made during the course of the contract. If there were none, please note "none." Additionally, the following mandatory items of information must also be included on this form:
  1. **Liquidated damages** - Indicate the liquidated damage days charged (calendar days) if any, the amount per day, and the total amount charged. Refer to Chapter 16, "Administer Construction Contracts," Section 16.15, "Claims," for contractor's claims procedures. If there were no liquidated damages, please note "none." Liquidated damages shall also be shown on the Final Invoice and Final Detail Estimate.
  2. **Contractors Claims** - Refer to Chapter 16, "Administer Construction Contracts," Section 16.15, "Contract Claims," for contractor's claims procedures. If there were no contractor's claims, please note "none."
  3. **Date of acceptance**
- **Final Report, Utilization of Disadvantaged Business (DBE) and Woman-Owned Business Enterprise** (Exhibit 17-F) - This form shall be completed and signed, and it shall be in conformance with the requirements in Chapter 9, "Disadvantage Business Enterprises." The completed form shall be submitted to the DLAE with the final report of expenditures for construction contracts (or as specified in the provisions for consultant contracts).
- **Disadvantaged Business Enterprises (DBE) Certification Status Change** (Exhibit 17-O) - This form shall be completed, signed, and submitted to the DLAE with the final report of expenditures for construction contracts (or as specified in the provisions for consultant contracts). If no change, state so.
- **Materials Certificate** (Exhibit 17-G) - This certificate (commonly referred to as the "Materials Certificate") is to be included in the project files upon completion of the project. Exceptions to the certification should be documented in project records in summary form along with explanations and attached to the certificate.

- **Statement of Materials and Labor Used by Contractors Involving Federal Funds FHWA - Form 47** (Exhibit 17-H) - This report is required for all NHS projects over \$1.0 million, except for force account, installation of protective devices and railroad grade crossings, or highway beautification.<sup>1</sup> Contract provisions require that the prime contractor complete and submit one combined or aggregate report for each subcontractor at or near completion. The local agency Resident Engineer should check the completed form for reasonableness and accuracy. The DLAE should also review for reasonableness and accuracy and forward to OLP (who will maintain a file) for submission to FHWA, headquarters. Instructions for completing the form are provided on the reverse side, as is the address for FHWA. This information can be submitted either in hard copy or electronically. The FHWA has developed personal computer software to automate the FHWA (Form 47) input. Copies of the software can be obtained from the DLAE and used by agencies who prefer to submit the information electronically.
- **Cover Letter and Report of Completion of Structures on Local Streets and Roads** (Exhibits 17-I and 17-J) - This report is to be forwarded by the DLAE to the Engineering Service Center: Division of Structures, Office of Structures Maintenance and Investigations Local Assistance Branch, for projects which include a bridge or other major structure. This information is necessary to incorporate all bridges into the statewide inventory and maintenance management system. (Include two (2) copies in the Report of Expenditures).
- **Report of Completion of Right of Way Expenditures** - Projects with Right of Way expenditures require additional information in the Report of Expenditures. When the project is complete, a summary of the progress payment requests is submitted on a Report of Completion of Right of Way Expenditures, Form FM 1592A (see Exhibit 17-K). This claim should be submitted when final right of way costs are known in order to expedite audit of the claim and reimbursement. The report shall also include the following:
  1. A parcel list
  2. Final maps (those that come with Right of Way Certification if not previously sent)
  3. A breakdown of Right of Way costs (with participating costs shown separately). The total participating costs should equal the "Participating Costs to Date" as shown on the Final Progress Payment Request (Form FM 1592A).
  4. Final Invoice for Right of Way - The invoice must be prepared on an agency letterhead; each phase must include:
    - a. All agency and project identification shown on the form including the Local Agency-State agreement number
    - b. Dates and amounts of funding authorized for Incidental and Capital Outlay
    - c. Period of expenditures (dates) for Incidental and Capital Outlay
    - d. Cost breakdown for Incidental and Capital Outlay as follows:
      - Total Cost to Date
      - Rental Income
      - Nonparticipating Cost to Date
      - Subtotal - Participating Costs

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<sup>1</sup> FHWA Division Administrator letter 7/2/96



- Participating Cost Previously Claimed
- Subtotal - Change in Participating Posts
- Reimbursement Ratio
- Amount of this Claim
- Invoice Total

Progress payment invoices shall be mailed directly to the Accounting Service Center in Sacramento at the address given in the example. No district review will be required for progress payments however, final payment invoices shall be submitted directly to the DLAE as part of the Final Report of Expenditures and will be reviewed by the district prior to payment. A final detail estimate is not required for right of way only projects, since the final report of expenditures document provides the information required.

- **Force Account Projects** - Projects with Force Account work also require a Report of Expenditures. These projects are usually emergency relief type and include emergency repair work. Other federal-aid projects may incorporate all or a part of the project to be built using the force account method. A completed example of a Report of Expenditures for a project including Force Account Work is included as Exhibit 17-L. For more information on force account procedures, see Chapter 12, "PS&E," under "Method of Construction."

The DLAE shall perform a review of these documents for correct format and obvious errors and/or omissions. Upon verification that the Report of Expenditures is complete, the DLAE shall forward it to OLP for processing.

## STATE FUNDED PROJECTS

For State funded projects, in State transportation programs such as the Traffic Systems Management (TSM), Flexible Congestion Relief (FCR), and Environmental Enhancement and Mitigation (EEM) Program, the local agency shall complete the "Final Project Expenditure Report" (Exhibit 17-M). The report with the final invoice attached will be submitted to the DLAE.

**Note:** These programs were intended under the blueprint legislation as State only funded projects. However due to varying circumstances of the State budget each year, and the variations of the State Highway Account, Caltrans at times may require projects in these programs to utilize federal-aid funds. When this occurs the Federal Report of Expenditures shall be completed as described under federal-aid projects above.

The DLAE will verify project completion as described for exempt federal-aid projects, sign the report and, except for EEM projects, forward the original plus two copies to the Office of Local Programs.

For EEM projects, the DLAE will forward the original plus two copies of "Final Project Expenditure Report" to the EEM Program Manager in Design and Local Programs. Use "Final Report of Right of Way Expenditures" (Exhibit 17-N) for Projects involving the acquisition of real property or rights thereto with funds direct deposited into an escrow account. In this case, the DLAE will not verify project completion until the close of escrow is completed and the recordation of both the grant deed and the Agreement Declaring Restrictive Covenants (ADRC). A copy of the recorded grant deed(s) and the original ADRC will be attached to the final report of right of way expenditures.

Projects funded from the State/Local Transportation Partnership Program are not required to follow the procedures in this chapter for project completion. Project completion for Partnership projects are described in Chapter 15 of the *Local Assistance Program Guidelines*.

## 17.6 CONSEQUENCES FOR NON-COMPLIANCE

Sanctions may be imposed by Caltrans on agencies that are found in noncompliance with the reporting requirements listed above in Section 17.5. The type of sanctions are further discussed in Chapter 19, "Process Reviews."

If there is a discrepancy between the Final Invoice and Final Detail Estimate, the agency is notified by phone that a discrepancy exists and their payment will be delayed until it is resolved. If the problem cannot be resolved within (180) days, Local Program Accounting shall bill the agency for all expenditures made on this project. If the local agency does not pay the accounts receivable bill within thirty (30) days, Local Program Accounting shall initiate action with the State Controller to offset funds due the local agency.

If the local agency has previously included in their billing, items not reimbursable by the FHWA or over-billed progress payments that exceed the Final Estimates, the local agency shall be billed for the overpayment. The local agency shall pay the State's accounts receivable bill within thirty days or Local Program Accounting shall initiate action with the State Controller to offset funds due the local agency. The same policy shall apply to those recommendations from Process Review Reports on applicable findings or the improper utilization of Disadvantaged Business Enterprises.

## 17.7 REFERENCES

23 CFR 635 subpart D  
23 CFR 637 subpart B  
23 CFR 640.113  
23 CFR 635.126 and Section VI of FHWA Form-1273  
Caltrans *Construction Manual*, Chapter III, Section 3-00, "Project Records and Reports"  
Caltrans *Construction Manual*, Chapter VIII, Section 8-01, 8-02, and 8-03, "Sampling and Testing"  
United States Code, Title 23 Chapter 1, Section 121, "Payment for States Construction"

## COVER LETTER

Project No: STPL-5999(001)

Mrs. Jane Doe  
District Director of Transportation  
Caltrans - Local Assistance  
P. O. Box 007  
Pickit, CA 90000-0007

Attention: Mr. Roland N. DaMoney,  
District Local Assistance Engineer

Dear Mrs. Doe:

Submitted for your consideration is:

FEDERAL REPORT OF EXPENDITURES

LOCAL AGENCY AWARDED CONTRACT

COUNTY OF SOMEWHERE

PROJECT: Sawpit Avenue, PM 13.2-14.5  
CONTRACTOR: A thru Z Contractors  
RESIDENT ENGINEER: Sam Strait

Sincerely,

---

Local Agency Representative

Reviewed by:

---

District 4 Local Assistance Engineer

## **COVER LETTER-Continued**

Federal Project No.: STPL-5920(001)

### Description of Project

The work done consisted, in general, of asphalt concrete overlays on Sawpit Avenue, asphalt concrete replacement, cold planing performed, and shoulder backing and pavement markers and metal beam guardrail installed. Other misc. items and details shown in the project plans, Standard Specifications, and Special Provisions were installed.

### Contract Chronology

1.	Bids Opened	03/30/93
2.	Contract Approved by local agency	04/27/93
3.	First chargeable working day	05/21/93
4.	Contract Time (Working Days)	40
5.	Unworkable Days - weather	0
6.	Time Extensions - CCOs	0
7.	Time Extensions - other	0
8.	Number of working days suspended	0
9.	Extended Date of Completion	07/30/93
10.	Date work accepted by Resident Engineer	09/21/93
11.	Liquidated damage days charged (calendar days)	0
12.	Date accepted by County Supervisors	09/21/93

**REPORT OF EXPENDITURES CHECKLIST**

Federal-aid Project Number: \_\_\_\_\_

Project Name: \_\_\_\_\_

Project Location: \_\_\_\_\_  
\_\_\_\_\_

- ( ) Final Inspection of Federal-aid Project (See Exhibit 17-B for nonexempt projects) or Local Agency Final Inspection Form (See Exhibit 17-C for exempt projects)
- ( ) Final Invoice (See Exhibit 17-D)
- ( ) Final Detail Estimate
- ( ) Change Order Summary (See Exhibit 17-E)
- ( ) Statement of the existence or absence of liquidated damages and/or contractor's claims(See Exhibit 17-E)
- ( ) Date of completion: \_\_\_\_\_
- ( ) Date of acceptance: \_\_\_\_\_
- ( ) Final Report- Utilization of Disadvantaged Business Enterprise(DBE), First-Tier Subcontractors (See Exhibit 17-F)
- ( ) Materials Certificate (Exhibit 17-G)
- ( ) Statement of Materials and Labor Used by Contractors Involving Federal Funds, FHWA Form-47 (See Exhibit 17-H) (for all NHS projects > \$1.0 million, except for force account, installation of protective devices and railroad grade crossings, or highway beautification)
- ( ) \* Report of Completion of Structure (two copies) (*Shall include one set of "As Built" Plans*)(See Exhibit 17-I and Exhibit 17-J)
- ( ) Disadvantaged Business Enterprises (DBE) Certification Status Change (Exhibit 17-O)

**Note:** A single submittal of all these documents will facilitate timely project closure.

\* Additional documents required on bridge/major structural project or projects which meet specified conditions (described under **Reports at Completion of Contract**). Send Original copy to structures

Distribution (all projects): (1) Original Report of Expenditures (2) local agency project files

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U.S. DEPARTMENT OF TRANSPORTATION FEDERAL HIGHWAY ADMINISTRATION		
<b>FINAL INSPECTION OF FEDERAL-AID PROJECT</b> CONSTRUCTED UNDER 23 U.S.C. 117		
INSTRUCTIONS: DLAE is to complete items 1 - 7 and submit original and three (3) copies to the Federal Highway Administration Division Office.		
1. PROJECT NO.	2. COUNTY	3. STATE
4. DESCRIPTION OF IMPROVEMENT AS PROGRAMMED		
5. CONTRACTOR'S NAME		6. CONTRACT AMOUNT \$
7. NOTICE OF COMPLETION: The above listed project has been completed and is ready for final inspection.  SIGNATURE (DLAE OFFICIAL) _____  TITLE _____		
8. FEDERAL HIGHWAY ADMINISTRATION INSPECTION MADE BY		9. DATE OF INSPECTION
10. IN COMPANY WITH		
11. REMARKS		
12. SIGNATURE	13. TITLE	14. DATE

FORM FHWA-1446C

Distribution: 1 Original and one copy to OLP for review and forward to FHWA (Prepared By District).

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CALIFORNIA DEPARTMENT OF TRANSPORTATION  
OFFICE OF LOCAL PROGRAMSLOCAL AGENCY  
FINAL INSPECTION FORM

INSTRUCTIONS: Local agency is to complete Items 1-10. DLAE completes Items 11-13 and submits original plus two (2) copies to the Office of Local Programs.

1. PROJECT NO.:	2. DIST-CO-RTE-AGENCY:	3. COMPLETION DATE:
4. LOCATION OF IMPROVEMENTS AS PROGRAMMED:		
5. TYPE OF WORK:		
6. CONTRACTOR'S NAME:		7. CONTRACT AMOUNT:
8. DATE OF CONTRACT ACCEPTANCE		
<p>9. FINAL INSPECTION. The above listed project was completed and a final inspection has been made. The project was completed as programmed and in compliance with all State and federal requirements.</p> <p>(Check appropriate box)</p> <p><input type="checkbox"/> This project is exempt from FHWA oversight. FHWA Final Inspection not required.</p> <p><input type="checkbox"/> This project is not exempt from FHWA oversight. FHWA Final Inspection required.</p>		
SIGNATURE (Local Agency Rep)		DATE:
TITLE:		
10. REMARKS:		
11. DISTRICT REVIEW MADE BY (print name):		12. DATE OF PROJECT REVIEW:
<p>13. PROJECT VERIFICATION: This verification of completion also constitutes approval to pay costs shown in the Final Invoice included in the Report of Expenditures. The person listed above has reviewed the job site and found the project constructed in accordance with the scope and description of the project authorization document.</p>		
SIGNATURE: _____		DATE: _____
District Local Assistance Engineer		

Form FIF-8/97

Distribution: (1) Original + two copies to Caltrans (2) Copy-retained by local agency

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**SAMPLE FEDERAL-AID FINAL INVOICE**  
**Single-Phase EA**  
**Two Appropriation Codes (33D and 33T)**  
*(Letterhead of Local Agency)*

***Date of Final Invoice***

(For Final Invoice)

**Name**, District Director

Department of Transportation

**Street or P. O. Box****City, CA Zip Code**Attention: **Name**, Local Assistance EngineerBilling No: **Final**Invoice No: **Local Agency's Invoice No.**Federal Aid Project No: **Fund Abbr.-Route-(Job #)**Tax Identification No: **Agency IRS ID Number**Date Accepted by City/County: **Final Date**Project Location: **Project Limits**

Reimbursement for Federal Funds are claimed pursuant to Local Agency-State Agreement

No. **Number**, Program Supplement No. **Number**, executed on **Date**.

	<u>Preliminary Engineering</u>	<u>Construction Engineering</u>	<u>Construction Contract</u>	<u>Total 33D</u>
Federal Appropriation Code	33D	33D	33D	
Expenditure Authorization No	969696	969696	969696	
Federal Authorization Date	06/30/94	01/02/95	01/02/95	
Federal participating costs from	07/05/94	01/30/95	02/15/95	
to	12/30/94	04/30/95	04/30/95	
Total Costs	\$3,500.60	\$8,400.30	\$200,000.10	\$211,901.00
Less: Retention	(0.00)	(0.00)	(20,000.00)	(20,000.00)
Non participating Costs	<u>(350.00)</u>	<u>(840.00)</u>	<u>(16,000.00)</u>	<u>(17,190.00)</u>
Subtotal	\$3,150.60	\$7,560.30	\$164,000.10	\$174,711.00
Plus: Payment of Previously Withheld Retention				
Federal Participating Costs to Date	\$3,150.60	\$7,560.30	\$164,000.10	\$174,711.00
Less: Participating Costs on Previous Invoice				<u>88,495.62</u>
Change in Participating Costs				\$86,215.38
Reimbursement Ratio				<u>88.53%</u>
Amount This Claim				\$76,326.47

EXHIBIT 17-D continued

	<u>Construction Engineering</u>	<u>Construction Contract</u>	<u>Total 33T</u>
Federal Appropriation Code	33T	33T	
Expenditure Authorization No	969696/30600	969696/30600	
Expenditure Authorization No	969696/30600	969696/30600	
Federal Authorization Date	01/02/95	01/02/95	
Federal participating costs from	01/30/95	02/15/95	
to	04/30/95	04/30/95	
Total Costs	\$2,100.10	\$50,000.00	\$52,100.10
Less: Retention		(5,000.00)	(5,000.00)
Non participating Costs	<u>(210.00)</u>	<u>(4,000.00)</u>	<u>(4,210.00)</u>
Subtotal	\$42,890.10	\$1,890.10	\$41,000.00
Plus: Payment of Previously Withheld Retention		<u>0.00</u>	<u>0.00</u>
Federal Participating Costs To Date	\$1,890.10	\$41,000.00	\$42,890.10
Less: Participating Costs on Previous Invoice			<u>21,470.00</u>
Change in Participating Cost			\$21,420.10
Reimbursement Ratio			<u>100.00%</u>
Amount This Claim			\$21,420.10
INVOICE TOTAL			\$97,746.57

=====

I certify that the work covered by this invoice has been completed in accordance with approved plans and specifications; the costs shown in this invoice are true and correct; and the amount claimed, including retention as reflected above, is due and payable in accordance with the terms of the agreement.

Seymore Green  
*Signature, Title and Unit of Local Agency Representative*

1-(800)-Cash  
*Phone No.*

Questions regarding this invoice should be directed to: \_\_\_\_\_ Phone #: \_\_\_\_\_

Note: When multiplying "Change in Participating Costs" by "Reimbursement Ratio," the result is be rounded to the lowest cent. Federal rules do not allow rounding up.

## SAMPLE CHANGE ORDER SUMMARY

Change Order No.	Brief Description	Contract Item Price *	Amt. Part.	Amt. Exp. Extra Work **	Amt. Part.
1	Traffic Control	0.00	0.00	\$4,527.25	\$4,527.25
2	6" PCC Driveway at Sta. 41+50 RT.	255.00	255.00	0.00	0.00
3	Additional 18" RCP at 67+70 LT.	96.00	0.00	0.00	0.00
4	Relocate waterline at 14+25 RT.	0.00	0.00	145.15	145.15
5	Adjust Compensation AC overrun	0.00	0.00	(-832.00)	(-832.00)
6	Delete Valley Gutters	<u>(-255.00)</u>	<u>(-255.00)</u>	<u>0.00</u>	<u>0.00</u>
		\$ 96.00	\$ 0.00	\$3,840.40	\$3,840.40

The amount shown as extra work is to be reported as a supplemental expenditure on the final Detail Estimate.

Liquidated Damages/contractors claim: None

Date of completion: 1/2/96

Date of acceptance: 1/5/96

\* Amounts shown are included at Bid Prices on Detail Estimate.

\*\* Extra Work (Payment under force account or agreed price).

Distribution: (1) Original-included in Report of Expenditures (2) Copy retained by local agency in project file

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STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

**FINAL REPORT - UTILIZATION OF DISADVANTAGED BUSINESS ENTERPRISES (DBE), FIRST-TIER SUBCONTRACTORS**

(FEDERALLY FUNDED PROJECTS)

CP-CEM-2402(F) (Rev. 10/99) CT# 7541-3502-2

CONTRACT NUMBER		COUNTY	ROUTE	POST MILES/POST KILOMETERS	FEDERAL AID PROJECT No.	ADMINISTERING AGENCY		CONTRACT COMPLETION DATE		
PRIME CONTRACTOR				BUSINESS ADDRESS				ESTIMATED CONTRACT AMOUNT \$		
ITEM NO.	DESCRIPTION OF WORK PERFORMED AND MATERIALS PROVIDED	SUBCONTRACTOR NAME AND BUSINESS ADDRESS	DBE CERT. NO.	CONTRACT PAYMENTS					DATE WORK COMPLETE	DATE OF FINAL PAYMENT
				Non-DBE	DBE*	DBE,SMBE*	DBE,SWBE*	DBE, SMBE, SWBE*		
				\$	\$	\$	\$	\$		
ORIGINAL COMMITMENT:				\$	\$	\$	\$	\$		
\$ _____ DBE \$ _____ DBE, SMBE \$ _____ DBE, SWBE \$ _____ DBE SMBE, SWBE				TOTAL	\$	\$	\$	\$	\$	

\*The decision of which column to be used for entering the DBE dollar value is based on what Program(s) the firm is Certified. This Program status is determined by the Civil Rights Certification Unit based on ethnicity, gender, ownership and control issues at time of certification. The certified firm is issued a certificate by the Civil Rights unit that states their program status as well as the firms Expiration Date. DBE Program status may be obtained by accessing the Civil Rights website (<http://www.dot.ca.gov/hq/bep/>) and downloading the Calcet Extract or by calling 916 227 2207.

List all First Tier Subcontractors, Disadvantaged Business Enterprises (DBE's) regardless of tier, whether or not the firms were originally listed for goal credit. If actual DBE utilization (or item of work) was different than that approved at time of award, provide comments on a separate page. List actual amount paid to each DBE, even if different than originally listed for goal credit. Definitions: SMBE (State Minority Business Enterprise) and SWBE (State Women-Owned Business Enterprise)

<b>I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT</b>		
CONTRACTOR REPRESENTATIVE SIGNATURE	BUSINESS PHONE NUMBER	DATE
<b>TO THE BEST OF MY KNOWLEDGE THE ABOVE INFORMATION IS COMPLETE AND CORRECT</b>		
RESIDENT ENGINEER SIGNATURE	BUSINESS PHONE NUMBER	DATE

Distribution: (1) Original plus one copy to DLAE included in the Report of Expenditures (original forwarded to Division of Structures, Office of External Liaison and Agreements)  
 (2) Copy- local agency project files (3) Copy - OLP Area Engineer

Form CP-CEM 2402(F) (Rev. 04/00)

**FINAL REPORT – UTILIZATION OF DISADVANTAGED BUSINESS**

**ENTERPRISES (DBE), FIRST-TIER SUBCONTRACTORS (FEDERALLY FUNDED PROJECTS)**

The form requires specific information regarding the construction project: Contract Number, County, Route, Post Miles/ Post Kilometers, a box to check that the project is indeed a Federal Aid Project, the Administering Agency, the Contract Completion Date and the Estimated Contract Amount. It requires the Prime Contractor name and Business Address. The focus of the form is to describe who did what by contract item numbers and descriptions, asking for specific dollar values of item work completed broken down by subcontractors who performed the work, both DBE and nonDBE work forces. DBE prime contractors are required to show the date of work performed by their own forces along with the corresponding dollar value of work.

The form has a column to enter the Contract Item No (or Item No's) and Description of work performed or Materials provided, as well as a column for the Subcontractor Name and Business Address. For those firms who are DBE, there is a column to enter their DBE Cert No. The DBE should provide their certification number to the Contractor and notify the Contractor in writing with the date of the decertification if their status should change during the course of the project.

The form has five columns for the dollar value to be entered for the item work performed by the subcontractor.

The NonDBE Column is used to enter the dollar value of work performed for firms who are not certified DBE.

The decision of which column to be used for entering the DBE dollar value is based on what Program(s) the firm is Certified. This Program status is determined by the Civil Rights Certification Unit based on ethnicity, gender, ownership and control issues at time of certification. The certified firm is issued a certificate by the Civil Rights unit that states their program status as well as the firms Expiration Date. DBE Program status may be obtained by accessing the Civil Rights website ([www.dot.ca.gov/hq/bep/](http://www.dot.ca.gov/hq/bep/)) and downloading the Calcert Extract or by calling 916 227 2207. Based on this DBE Program status, the following table depicts which column to be used:

DBE Program Status	Column to be used
If program status shows DBE only with no other programs listed	DBE
If program status shows DBE, SDBE	DBE Minority
If program status shows DBE, SDBE, WDBE	DBE (Minority Women)
If program status shows DBE, WDBE	DBE (Non-Minority Women)

If a contractor performing work as a DBE on the project becomes decertified and still performs work after their decertification date, enter the total dollar value performed by this contractor on Form 2402(F) under the appropriate DBE Program Status (include all work performed after decertification) and complete and submit Form CEM-2403 (F) as appropriate. Any comments to be made on the Form 2402 (F) are to be explained on the reverse side of the Form. Indicate in the Comment section that Form CEM 2403(F) is being submitted.

If a contractor performing work as a Non-DBE on the project becomes certified as a DBE enter the dollar value of all work performed as a DBE on CEM-2402(F) and CEM-2403(F). Any comments to be made on the Form 2402 (F) are to be explained on the reverse side of the Form. Indicate in the Comment section that Form CEM 2403(F) is being submitted.

There is a space provided on the CEM-2402(F) where the TOTAL is entered for these five columns.

There is a column on the CEM-2402(F) to enter the Date Work Complete as well as a column to enter the Date of Final Payment, which is an indicator of when the Prime Contractor made the "final payment" to the subcontractor for the portion of work listed as being completed.

The Original Commitment area on the CEM-2402(F) is based on information at Award time of the project and is the total dollar value of those subcontractors listed at Award based on the above table.

The CEM-2402(F) has an area at the bottom where the Contractor and the Resident Engineer sign and date that the information provided is complete and correct.



**Materials Certificate**CITY/COUNTY LETTERHEAD  
(Sample)Date: \_\_\_\_\_  
Federal-Aid Project No.: \_\_\_\_\_  
Caltrans File Category 61: \_\_\_\_\_  
Job Stamp \_\_\_\_\_

Subject: Materials Certification

This is to certify that:

The results of the tests on acceptance samples indicate that the materials incorporated in the construction work and the construction operations controlled by sampling and testing were in conformity with the approved plans and specifications.

☐ Exceptions to the plans and specifications are explained on the back of this memorandum (or on attached sheet).☐ No exceptions to the plans and specifications were found.\_\_\_\_\_  
Signature of local agency engineer in responsible charge of project and title

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STATEMENT OF MATERIALS AND LABOR USED BY  
CONTRACTORS ON HIGHWAY CONSTRUCTION INVOLVING FEDERAL FUNDS

ALL	To be completed by Washington Headquarters Personnel										2	4	5	8	9	12	13	15			
											16	18	19		27	28	30	31	33		
PART A To be completed by FHWA or State Highway Personnel (see instructions on reverse)																					
C A R D	STATE					COUNTY					FEDERAL PROJECT NO.*					URBAN ( ) RURAL ( )					
	ITEM	DESCRIPTION					ROADWAY					BRIDGE (over 20 ft)					DATE STARTED				
A	CONSTRUCTION TYPE CODES																				
	1	LENGTH OF PROJECT					MILES										DATE COMPLETED				
	2	FINAL CONSTRUCTION COST					DOL										TOTAL NO. BRIDGES				
PART B to be completed by contractor - see instructions on reverse (Remarks attach a plain sheet of paper)																					
C A R D	3	LABOR TOTAL PROJECT					TOTAL LABOR HOURS					GROSS EARNINGS					27 CLAY PIPE				
	ITEM	DESCRIPTION					UNIT	PROJET QUANTITY					CULVERT ITEMS					SIZE (in.)	LGTH (Lin ft.)		
C A R D	4	TOTAL COST OF ALL MAT'LS & SUPPLIES					DOL						25 CORR STEEL CULVERT								
	5	PETROLEUM PROD.					GAL														
D B	6	CEMENT					BBL														
	7						LB														
C A R D	8	AGGRETATES					TON														
	9	PURCHASES					CU.YD														
C	10	BITUMINOUS MATERIAL					GAL														
	11	LUMBER					THSD. BD.FT.														
C A R D	12	REINFORCING STEEL					LB.														
	13	STRUCTURAL STEEL					LB														
C A R D	14	READY-MIXED CONCRETE					CU.YD						26 CONCRETE PIPE								
	15	PREMIXED BIT PAVING MATERIALS					TON														
E	16	AGGREGATES					TON														
	17	PRODUCED					CU.YD														
C A R D	18	MISC. STEEL					LB														
	19	NOISE BARRIERS					Lin, ft.														
F	20	GUARDRAIL					Lin, ft.														
	21	BRIDGE RAIL					Lin, ft.														
C A R D	22	FINAL CONTRACT AMOUNT FOR SIGNS					DOL														
	23	FINAL CONTRACT AMT FOR LIGHTING					DOL														
D	24	FINAL CONTRACT AMT FOR TRAFFIC SIGNALS					DOL														
	Blocks 48-70 to be completed by FHWA Washington HQ Personnel																				
G	48	52 53					61 62					70									
*Must be reported on all reports																					
REVIEWED BY:										DATE:											

Form FHWA-47 (Rev 6-90) PREVIOUS EDITIONS ARE OBSOLETE

Distribution: (1) Original copy to DLAE included in the Report of Expenditures (for all NHS projects > \$1.0 million, except for force account, installation of protective devices at railroad grade crossings, or highway beautification.)  
(2) Copy-retained by local agency

**INSTRUCTIONS FOR PREPARING AND TRANSMITTING FORM FHWA-47**

**GENERAL REQUIREMENTS**

Form FHWA 47 should be transmitted for each Federal-aid project on the National Highway System with construction cost greater than \$1 million involving construction performed under contract awarded by competitive bidding, except projects consisting of (1) the installation of protective devices at railroad grade crossings, or (2) highway beautification.

A separate form should be transmitted for each contract except that data for two or more contracts on the same project may be combined when such contracts are completed at approximately the same time. In case of a combination, the earliest starting date and the latest completion date should be reported. Where a single contract covers more than one project, one form may be prepared for each project or for the entire contract, provided none of the data are duplicated. A Form FHWA-47 should not be prepared for a contract covering only the purchase of material but the quantity of material should be reported when subsequently included in a construction project. In all cases, only the original of Form FHWA-47, typed or clearly lettered, and no carbon or photocopies, should be transmitted to the Washington Office.

If nonparticipating work is included in the contract, all data should be combined with the Federal-aid data in preparing the form. Data for any subcontract must be combined by the State or the division office with the prime contract if not so combined by the prime contractor. It will be the State's responsibility to see that all prime contract and subcontract costs, material, and labor-hours have been reported for each contract, and no duplication of data are involved. Quantities of State-furnished materials should be included with contract quantities, and costs of STATE-furnished materials should be added to Item 2 "Final Construction Cost" and also to Item 4 "Total Cost of All Materials and Supplies." All quantities should be reported to the nearest whole unit and only in the units specified. All costs should be reported to the nearest dollar.

Check urban or rural to indicate whether the major cost is for work within an urban area or in a rural location.

All figures should be verified for reasonableness by State high-way department and Federal Highway Administration division office engineers. The total material cost and the total labor-hours and gross earnings should bear reasonable relationships to the final construction cost. Also the quantity of each material reported should be reasonable with respect to the size and nature of the contract and with respect to the quantities of other materials. For example, if a large quantity of reinforcing steel is reported with no cement or ready-mixed concrete, an error of omission in reporting would be indicated.

Generally, the total cost of materials, supplies, and labor should be substantially less than the final construction cost, as the latter also includes costs of equipment ownership, overhead, and profit which are not required to be reported. If the final construction cost is less or only a few percent more than the total cost of materials, supplies and labor, the indication is that the contractor suffered a loss on the project or that there is an error in reporting. In such case, if it is determined that the figures reported are correct, a statement should be made on a plain sheet of paper marked "Remarks" to the effect that the contractor actually did suffer a loss, (verify with contractor).

**Part A- INFORMATION TO BE SUPPLIED BY FEDERAL HIGHWAY ADMINISTRATION OR STATE HIGHWAY PERSONNEL**

**Item 1** - "Length of Project" - Report official roadway mileage and official bridge mileage.

**Item 2** - "Final Construction Cost" - Show best estimate of Federal and State costs incurred to date for contract items, extra work performed by contractor, and State-furnished materials.

**PART B-INFORMATION TO BE SUPPLIED BY CONTRACTOR IMMEDIATELY UPON COMPLETION OF CONTRACT OR PROJECT**

**Specific Instructions for the Following Numbered Items:**

**Item 3** - Report total labor-hours worked and earnings of all contractor's employees on the project, including those on operation and maintenance of equipment.

**Item 4** - This should be the total cost, at the jobsite, of all construction materials and supplies purchased for and used on the project, including the cost of materials for signing and lighting and the cost of any materials and supplies not specifically listed hereon. Costs of equipment or equipment rental and the cost of operating the equipment, except the costs of fuel and lubricants, should not be included in this item. Small items of equipment such as jack-hammers, handtools, repair parts, tires, etc., are not considered to be supplies. Costs of such items and also overhead costs should not be included. The amount included here for aggregates produced should be only the cost paid by the contractor for the aggregates and should not include the costs of excavating, processing, loading and hauling. Wages and labor-hours for aggregates produced should, of course, be included with Item 3.

**Item 5** - Report total number of gallons of all gasoline, diesel oil, lubricating oil, and grease for equipment and trucks. For conversion purposes use factor of 8 pounds of grease per gallon.

**Items 6 and 7** - Report quantity of cement used on project. Do not report here the cement included in Item 14.

**Items 8 and 9** - Report quantity of aggregates purchased from commercial producers, such as sand, gravel, crushed stone, etc. Do not report here aggregates included in Items 14 and 15. Aggregates produced by the contractor shall be reported as Items 16 and 17.

**Item 10** - Report number of gallons of bitumens such as asphalt and tar. Do not report here bituminous materials included in Item 15.

**Item 11** - Report all lumber products purchased for and used on the project, including plywood and pressed wood, but excluding timber piling, lumber in fencing, guardrail, and signs, and lumber purchased for or used on previous projects and previously reported. The quantity of lumber should be reported as the number of thousand board feet and not as the number of board feet.

**Item 12** - Report total number of pounds of reinforcement (plain or coated) for both structures and pavement. Include estimated quantities of reinforcing and prestressing steel in purchased precast units, except concrete pipe reinforcement. **Item 13** - Report total number of pounds of structural steel, steel H-piling, and sheet piling.

**Item 14** - Report total number of cubic yards of ready-mixed concrete plus estimated quantity of concrete in purchased precast units, excluding Item 26.

**Item 15** - Report total number of tons of bituminous paving mixtures that are purchased in a prepaid condition ready for placement as they reach the job.

**Items 16 and 17** - Report total quantity of aggregates such as sand, gravel, crushed stone, etc., produced by the contractor.

**Item 18** - Report estimated total weight of steel products not appropriate for Items 12, 13, and 25, such as joint devices, tubular piling, etc..

**Items 19, 20 and 21** - Report total lengths, in linear feet, of all types of noise barriers, guardrail and bridge rail. \*

**Item 22** - Report final contract amount for all types of signs including foundations, posts, structural supports, etc. Do not include traffic signals. \*

**Item 23** - Report final contract amount for highway and bridge lighting including foundations, conduits, standards, wiring, switches, luminaries, etc. Do not include traffic signals. \*

**Item 24** - Report final contract amount for traffic signals. \* **Item 25** - Report, by size, regardless of class, type, gauge or coating, number of linear feet of corrugated steel pipe, structural plate pipe, pipe-arches and arches.

**Item 26** - Report, by size, regardless of class, type, gauge or coating, total number of linear feet of plain and reinforced concrete drain and culvert pipe.

**Item 27** - Report, by size, total number of linear feet of clay pipe.

**Item 28** - Report by size, total number of linear feet of corrugated aluminum culvert.

**Item 29** - Report, by size, total number of linear feet of plastic pipe.

Quantities of steel, concrete and lumber used in connection with Items 19, 20, 21, 22, 23 and 24 should not be reported unless difficulties are encountered in segregating such quantities from total quantities.

## SAMPLE COVER LETTER FOR THE REPORT OF COMPLETION OF STRUCTURES

\_\_\_\_\_  
Type of Funding\_\_\_\_\_  
Dist.- Co.-Rte.\_\_\_\_\_  
State Contract No.\_\_\_\_\_  
Fed. Project No.

Date:\_\_\_\_\_

Chief, Office of Structures Maintenance and Investigations  
Caltrans Engineering Service Center, Mail Station 9  
P. O. Box 942874  
Sacramento, CA 94274-0001

Attention: \_\_\_\_\_ Structures Local Assistance Engineer

Dear: \_\_\_\_\_

Submitted herewith is the REPORT OF COMPLETION OF STRUCTURES ON LOCAL STREETS AND  
ROADS for the structures listed below:

\_\_\_\_\_  
Bridge Name  
(future intersected)\_\_\_\_\_  
Road Name  
(facility carried)\_\_\_\_\_  
State Bridge No.\_\_\_\_\_  
Contractor\_\_\_\_\_  
Bridge Resident Engineer

Distribution: (1) Original plus one copy to DLAE included in the Report of Expenditures (original forwarded to Division of Structures , Office of  
External Liaison and Agreements)  
(2) Copy-retained by local agency

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**REPORT OF COMPLETION OF STRUCTURES  
ON LOCAL STREETS AND ROADS**A. Description of Bridge WorkB. Contract Chronology

Structure Work Completed on: \_\_\_\_\_

C. Final Photographs

Attach two photographs of completed structure, side view and roadway view. Photographs should show pertinent features both over and under the bridge i.e. channel profile, roadways, railroads etc.

D. Site Map

Include an 8 1/2 X 11" reproduction of the work location site map.

E. Attachments

1. As Built Plans.
2. Stream Flow record (high water during construction).
3. Shop plan microfilms, pre-stress, structural steel, pumping plants, movable bridges.

Distribution: (1) Original plus one copy to DLAE included in the Report of Expenditures (original forwarded to Division of Structures, Office of External Liaison and Agreements)  
(2) Copy-retained by local agency

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SAMPLE REPORT OF COMPLETION OF RIGHT OF WAY EXPENDITURES

**CITY OF MORELAND**

One Dollar Square, Moreland, CA 90007  
(999) 333-3030 • Fax # (999) 333-7059

Community Development/Redevelopment  
Building and Code Enforcement  
Public Works and Engineering  
Recreation and Senior Services  
Housing Authority  
Housing  
Planning

Mr. Joe Smoe  
District 13 Director of Transportation  
Caltrans  
P. O. Box 23660  
Yourcall, CA 96007

Date: August 1, 1993

Attention: Phil N. Blank  
District Local Assistance Engineer

Subject: 04-CC-0-MRL  
Federal-Aid Project No.: BRM-A751(001)  
City of Moreland Project No.: PW-114  
Boondoggle Bridge Replacement @ Rabble-rouser River (Bridge No. 99C-007)

Dear Mr. Smoe:

Submitted for your consideration is:

**REPORT OF COMPLETION  
AND  
REPORT OF EXPENDITURES  
FOR LOCAL AGENCY  
RIGHT OF WAY  
CITY OF MORELAND**

Sincerely,

Seymore Land

Local Agency Representative

Reviewed by,

Phil N. Blank

District 13 Local Assistance Engineer

I. REPORT OF COMPLETION OF RIGHT OF WAY

A. Location and Description of Project

1. Federal-aid Project BRM-A751(1) in the City of Moreland, on the Boondoggle Bridge Replacement Project at Rabble-rouser River, Bridge No. 99C-007.

B. Chronological Statement

1. First date right of way expenditures eligible for reimbursement 12/23/91
2. Right of Way work began: 1/1/92
3. Right of Way work completed: 7/7/93

II. REPORT OF EXPENDITURES OF RIGHT OF WAY

A. Final Report of Right of Way Expenditures See Attachment #1

B. Parcel List See Attachment #1

C. Final Maps Submitted on: June 21, 1993 with R/W certification.

D. Final Invoice See Attachment #2.

IV. I certify that to the best of my knowledge and belief the above data is correct; that adequate title to the necessary right of way has been acquired for the herein above described federal-aid project in the name of the City of Moreland, for the amount of just compensation based on bona fide appraisals duly qualified as required by the right of way procedures of the Federal Highway Administration and other written justification now contained in the City/County files, in accordance with procedures as submitted to and accepted by the Director.

I further state that this certification is made in my official capacity as Chief Financial Officer, pursuant to Section 121 of Title 23, United States Code, for the purpose of securing, pursuant thereto, by the City of Moreland, federal-aid funds in connection with the above designated federal-aid highway project, and that neither I nor, to the best of my knowledge, any other officer, agent or employee of the City/County authorized in an official capacity to perform services in connection with the appraisal or acquisition of any of such right of way has any interest or contemplates any benefit from any transaction which involved the acquisition of property for right of way for such project, other than as herein disclosed.

Mark A. Space  
Signature of Local Agency Representative

Chief Financial Officer  
Title

800-123-CASH  
Phone Number

August 1, 1993  
Date

## SAMPLE FINAL REPORT OF RIGHT OF WAY EXPENDITURES

**CITY OF MORELAND**One Dollar Square, Moreland, CA 90007  
(999) 333-3030 Fax # (999) 333-7059

Project Nos.: \_\_\_\_\_

Federal No: BRM-A751(001)State No (EA): 13-199129Local Agency City of MorelandAgreement No. 00001

		Participating	Non- Participating	Total
I.	Project Costs			
	1. Capital Costs			
	Acquisition	\$1,028,543	\$20,000	\$1,048,543
	RAP	\$15,000		\$15,000
	Utility Relocation	\$69,614	\$750	\$70,364
	Other			
	Total Capital	\$1,113,157	\$20,750	\$1,133,907
	2. Incidental	\$179,286	\$64,356	\$243,642
	3. Subtotal	\$1,292,443	\$85,106	\$1,377,549
	4. Less Rental & Sales Income	\$-12,250		\$-12,250
	5. Project Total	\$1,280,193	\$85,106	\$1,365,299
II.	RAP: Business	\$0		
	Family	15,000		
III.	A.	The acquisition, final tabulation of all appraisals, the costs reported and the maps submitted are unchanged when compared with the final construction lines.		
	B.	Parcel List: <u>See attached</u>		

**Attachment #1**

Federal Project No. BRM-A751(001)  
 State Project No. 13-1991229  
 Map No. F17192

**B. PARCEL LIST.**

As Acquired					REMARKS	Per Final R/W Map			
PARCEL NO.	TYPE TAKE	Acquired Area (m <sup>2</sup> /ha)				Map Sheet No.	Acquired Area (m <sup>2</sup> /ha)		
		TOTAL	R/W	EXCESS			Total	R/W	Excess
41042-1	Part					3,4	49,901m <sup>2</sup>	50,830m <sup>2</sup>	0
-2	S. Ease				207170 0.476 AC. Slope Easement	3,4			
-4	D. Ease				17980 0.041 AC Drainage Easement	4			
-5	D. Ease				8000 0.018 AC. Drainage Easement	4			
41043-1	Part					3	1,714m <sup>2</sup>	1,714m <sup>2</sup>	0
-2	S. Ease				20150 Slope Easement	3			
-3	D. Ease				4640 Drainage Easement	3			
41044-1	Part					3	19.5m <sup>2</sup>	19.5m <sup>2</sup>	0
-2	S. Ease				0.020 AC. Slope Easement	3			
-3	D. Ease				0.009 AC. Drainage Easement	3			

1. Right of Way lines as claimed on progress claims submitted to Caltrans for reimbursement of acquisition costs (Section 4.1)
2. Area by square meters or hectares.
3. Type Take: F = Full; P= Partial
4. If change in area is indicated in "Per Final R/W Map" column, the local agency must include the revisions to the final lines on the Final Progress Payment Request to account for the differences between the original amounts claimed through progress invoices and the final amounts as adjusted to reflect the final right of way lines, i.e., acquisition costs, rental income credits.

# FINAL INVOICE MULTI PHASE EA RIGHT OF WAY

(LETTERHEAD CITY OF MORELAND)

Name, Joe Smoe  
District 13 Director of Transportation  
Caltrans  
P. O. Box 23660  
Yourcall, CA 96007

Attention: Phil N. Blank  
District Local Assistance Engineer

Billing No:	<b>Final</b>
Invoice No:	<b>Local Agency's Invoice No.</b>
Federal-Aid Project No:	<b>Prefix-Proj. No. (Fed. Agreement No.)</b>
Tax Identification No:	<b>Agency IRS ID Number</b>
Project Completion Date:	<b>Date of Contract Completion</b>
Date Project Accepted by City/County:	<b>Final Date or "Ongoing" if not Final</b>
Project Location:	<b>Project Limits</b>

Reimbursement for federal funds is claimed pursuant to Local Agency-State Agreement No. Number, Program Supplement No., Number, executed on Date.

	Phase 9 Capital	Phase 2 Incidental	Total
Federal Appropriations Code	33D	33D	33D
District - Expenditure Authorization No.	03-023459	03-023452	
Federal Authorization Date	08/30/94	08/30/94	
Federal participating costs from	10/05/94	08/30/94	
to	02/30/95	02/30/95	
Federal-aid Agreement Amount	\$2,400,000	\$300,000	
 Total Costs	 \$1,133,907	 \$ 243,642	
Less: Rental Income	0	(12,250)	
Nonparticipating Costs	(\$20,750)	(64,356)	
Federal Participating Costs to Date	\$1,113,157	\$167,036	
 Less: Participating Costs on Previous Invoice	 \$980,165	 \$150,794	
 Change in Participating Costs	 \$132,992	 \$16,242	
Reimbursement Ratio	88.53%	88.53%	
 Amount of this claim	 \$117,737.81	 \$14,379.04	 \$132,116.85
INVOICE TOTAL:	\$132,116.85		

Note: When multiplying "Change in Participating Costs" by "Reimbursement Ratio," the result is rounded to the lowest cent. Federal rules do not allow rounding up.

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**SAMPLE REPORT OF EXPENDITURES FOR FORCE ACCOUNT PROJECTS**

Mr. Joe Smoe  
District Director of Transportation  
Caltrans  
P. O. Box 23660  
Upickit, CA 99999

Federal Project No.: ER-1600 (040)

Attention: Mr. Roland N. DaWins, District Local Assistance Engineer

Dear Mr. Smoe:

Submitted for your consideration is:

REPORT OF COMPLETION  
AND  
REPORT OF EXPENDITURES  
FOR LOCAL AGENCY FORCE ACCOUNT WORK  
CITY OF  
UPICKIT

Sincerely,

Max Competition

Local Agency Representative

Reviewed by,

Roland N. DaWins

District 13 Local Assistance Engineer

I. REPORT OF COMPLETION OF FORCE ACCOUNT WORK

A. Location and Description of Project

1. Work required per Traffic Management Plan approved by Damage Assessment Form (DAF) # KK569. On Green Bay Way from Bart Starr Avenue to Superbowl Road. Replace existing controllers at 15 intersections with solid State fixed time equipment capable of providing 4 signal timing plans and offsets. Adjust timing for Am inbound (NB) progression, PM outbound (SB) progression, special program for events at Candlestick Park and off-peak program

B. Chronological Statement

1. First date expenditures eligible for reimbursement 12/23/91
2. Force account work began: 1/1/92
3. Force account work completed: 3/7/92

II. REPORT OF EXPENDITURES

- A. Liquidated Damages: None
- B. Pending Contractors Claims: None
- C. Contract Change Order Summary: None
- D. Final Inspection Form: Attached
- E. Final Detail Estimate: Attached
- F. Materials Certification: Attached
- G. Maps: Attached



(AGENCY LETTER HEAD)

Date:

Name, District Director  
Department of Transportation  
Street or P.O. Box  
City, CA, Zip Code

Attention: Name, Local Assistance Engineer

**Final Project Expenditure Report**

(For FCR, TSM, EEM or Proposition 116 Bicycle Program Projects)

Description/Location of Work:

Project Completion Date:

Expenditure Authorization:

Project Number:

State-Local Entity Agreement Number:

State Funds Allocated:Expenditure Incurred:Total \$

A. Payment to Contractor  
(Attach final pay estimate)

B. Other Project Costs:  
Preliminary Engineering  
Construction Engineering  
Any Additional Construction  
Right of Way (Capital and Support)

C. Liquidated Damages

D. Outstanding Contractors Claims

E. Others (specify)

Sources and Amounts of Additional Funds Used:State Funds Allocated But Not Used:**CERTIFICATION**

I hereby certify that:

To the best of my Knowledge and belief, the information in this report is a true and accurate record of project costs. The work was performed in accordance with the CTC approved scope and State funding for the project.

---

Title and Unit of Local Agency Representative

PROJECT VERIFICATION: This verification of completion also constitutes approval to pay costs shown in the Final Invoice included in the Report of Expenditures. I have reviewed the job site and found the project completed in accordance with the scope and description of the project authorization document.

---

District Local Assistance Engineer

Date: \_\_\_\_\_

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**ENVIRONMENTAL ENHANCEMENT AND MITIGATION (EEM) PROGRAM**  
**FINAL REPORT OF RIGHT OF WAY EXPENDITURES**  
FOR PROJECTS INVOLVING ACQUISITION OF REAL PROPERTY, OR RIGHTS THERETO,  
RECEIVING DIRECT DEPOSIT OF FUNDS INTO AN ESCROW ACCOUNT  
(PREPARED BY DISTRICT)

State of California

Business, Transportation, and Housing Agency

**Memorandum**

To: EEM Program Manager  
Design and Local Programs

Date: \_\_\_\_\_

File: \_\_\_\_\_

From: DEPARTMENT OF TRANSPORTATION  
District \_\_\_\_\_

Subject: EEM Project No. \_\_\_\_\_  
Applicant-State Agreement No. \_\_\_\_\_  
FINAL REPORT OF RIGHT OF WAY EXPENDITURES

Attached is the following information on the subject project:

1. Copy of the recorded grant deed(s)
2. Original recorded Environmental Enhancement and Mitigation Program Agreement  
Declaring Restrictive Covenants (ADRC)
3. Close of Escrow was \_\_\_\_\_ (date)
4. Copy of invoice(s) (on Applicant letterhead)

PROJECT VERIFICATION: This verification of completion constitutes approval that acquisition(s) occurred for the attached property(ies) listed in the original grant deed(s) (attached).

\_\_\_\_\_  
District Local Assistance Engineer

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STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

**DISADVANTAGED BUSINESS ENTERPRISES (DBE) CERTIFICATION STATUS CHANGE**

CP-CEM-2403(F) (New. 10/99)

CONTRACT NUMBER	COUNTY	ROUTE	POST MILES/POST KILOMETERS	ADMINISTERING AGENCY	CONTRACT COMPLETION DATE
PRIME CONTRACTOR			BUSINESS ADDRESS	ESTIMATED CONTRACT AMOUNT \$	

*Prime Contractor: List all DBEs with change in certification status (certified/decertified) while in your employ, whether or not firms were originally listed for goal credit.**Attach DBE certification/decertification letter in accordance with the Special Provisions.*

CONTRACT ITEM NO.	SUBCONTRACTOR NAME AND BUSINESS ADDRESS	BUSINESS PHONE	CERTIFICATION NUMBER	AMOUNT PAID WHILE CERTIFIED	CERTIFICATION/ DECERTIFICATION DATE Letter attached <input type="checkbox"/>
				\$	<input type="checkbox"/>
				\$	<input type="checkbox"/>
				\$	<input type="checkbox"/>
				\$	<input type="checkbox"/>
				\$	<input type="checkbox"/>
				\$	<input type="checkbox"/>
				\$	<input type="checkbox"/>
				\$	<input type="checkbox"/>
				\$	<input type="checkbox"/>
				\$	<input type="checkbox"/>

Comments:

<b>I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT</b>			
CONTRACTOR REPRESENTATIVE SIGNATURE	TITLE	BUSINESS PHONE NUMBER	DATE
<b>TO THE BEST OF MY KNOWLEDGE, THE ABOVE INFORMATION IS COMPLETE AND CORRECT</b>			
RESIDENT ENGINEER SIGNATURE	BUSINESS PHONE NUMBER		DATE

DISTRIBUTION    Original-DLAE    Copy to: 1) Business Enterprise Program    2) Prime Contractor    3) Local Agency    4) Resident Engineer

Form CP-CEM 2403(F) (New 10/99)

**DISADVANTAGED BUSINESS ENTERPRISES (DBE) CHANGE IN CERTIFICATION STATUS REPORT**

The top of the form requires specific information regarding the construction project: Contract Number, County, Route, Post Miles/ Post Kilometers, the Administering Agency, the Contract Completion Date and the Estimated Contract Amount. It requires the Prime Contractor name and Business Address. The focus of the form is to substantiate and verify the actual DBE dollar amount paid to contractors on Federally funded projects that had a change in Certification status during the course of the completion of the contract. The two situations that are being addressed by CP-CEM 2403(F) are if a firm certified as a DBE and doing work on the contract during the course of the project becomes Decertified, and if a non-DBE firm doing work on the contract during the course of the project becomes Certified as a DBE.

The form has a column to enter the Contract Item No (or Item No's) as well as a column for the Subcontractor Name, Business Address, Business Phone, and contractor's Certification Number.

The column entitled Amount Paid While Certified will be used to enter the actual dollar value of the work performed by those contractors who meet the conditions as outlined above during the time period they are Certified as a DBE. This column on the CP-CEM-2403 (F) should only reflect the dollar value of work performed while the firm was Certified as a DBE.

The column called Certification/Decertification Date (Letter attached) will reflect either the date of the Decertification Letter sent out by the Civil Rights Program or the date of the Certification Certificate mailed out by the Civil Rights Program. There is a box to check that support documentation is attached to the CP-CEM-2403(F) form.

There is a Comments section for any additional information that may need to be provided regarding any of the above transactions.

The CEM-2403 (F) has an area at the bottom where the Contractor and the Resident Engineer sign and date that the information provided is complete and correct.